

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

ATTORNEY'S DOCKET NUMBER

EL899322371US

CH920020028US1

February 28, 2005

U.S. APPLICATION NO. 10/526052

INTERNATIONAL APPLICATION NO.  
PCT/IB2003/03749

INTERNATIONAL FILING DATE  
August 22, 2003

PRIORITY DATE CLAIMED  
August 29, 2002

TITLE OF INVENTION  
TRANSDUCERS

APPLICANT(S) FOR DO/EO/US  
International Business Machines Corporation

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and Other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and 21 indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ are attached hereto
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11 to 20 below concern document(s) or information included:**

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information: Unexecuted Declaration and Power of Attorney

this collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS.  
SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)		INTERNATIONAL APPLICATION NO.		ATTORNEY'S DOCKET NUMBER	
10/526052		PCT/IB2003/03749		CH920020028US1	
21. The following fees are submitted:				EL899322371US February 28, 2005	
___ a) Basic National fee .....				\$ 300.00	
___ b) Examination fee .....				\$ 200.00	
___ c) Search fee .....				\$ 500.00	
TOTAL OF ABOVE CALCULATIONS =				\$1000.00	
Total sheets	Extra sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE		
22-100 =	/50 =		x \$250.00	\$ 0.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from earliest claimed priority date (37 CFR 1.49(e)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	20- 20 =	0	x \$50.00	\$ 0.00	
Independent claims	2 - 3 =	0	x \$200.00	\$ 0.00	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)		+ \$360.00		\$	
TOTAL OF ABOVE CALCULATIONS =				\$ 0.00	
___ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$	
SUBTOTAL =				\$1,000.00	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from earliest claimed priority date (37 CFR 1.492(f)).				\$	
TOTAL NATIONAL FEE =				\$1,000.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31), \$40.00 per property +				\$	
TOTAL FEES ENCLOSED =				\$1,000.00	
				Amount to be refunded:	\$
				Amount to be charged:	\$

- a. \_\_\_ A check in the amount of \$\_\_\_\_\_ to cover the above fee is enclosed.
- b. ☒ Please charge my Deposit Account No. 09-0468 in the amount of \$1,000.00 to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fee which may be required, or credit any overpayment to Deposit Account No. 09-0468. A duplicate copy of this sheet is enclosed.
- d. \_\_\_ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Louis P. Herzberg  
Thomas J. Watson Research Center  
P.O. Box 218  
Yorktown Heights, NY 10598  
FORM PTO-1390 (REV. 7-2004)

*Louis Herzberg*  
SIGNATURE

Louis P. Herzberg  
NAME

41,500  
REGISTRATION NUMBER

10/526052  
DT01 Rec'd PCT 28 FEB 2005

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: Binnig et al.  
Serial No.:  
Filed: HERewith  
For: TRANSDUCERS

Docket No.: CH920020028US1  
Group No.:  
Examiner:

Mail Stop PCT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450  
Attn: DO/EO/US

**EXPRESS MAIL CERTIFICATE**

Express Mail Label Number EL899322371US  
Date of Deposit February 28, 2005

I hereby certify that the attached paper or fee

Transmittal Letter to the United States Designated/Elected Office  
(DO/EO/US) Concerning a Filing Under 35 U.S.C 371  
Patent Application and 14 Sheets of Drawings  
International Publication No. WO 2004/020328  
Preliminary Amendment  
Declaration and Power of Attorney (unexecuted)  
Return Postcard

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Mail Stop PCT, Attn: DO/EO/US, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

\_\_\_\_\_  
Allison Berkman

(Name)

\_\_\_\_\_  
*Allison Berkman*

Signature

**Note:** Each paper must have its own certificate and the "Express Mail" label number as a part thereof or attached thereto. When, as here, the certification is presented on a separate sheet, that sheet must (1) be signed and (2) fully identify and be securely attached to the paper or fee it accompanies. Identification should include the serial number and filing date of the application as well as the type of paper being filed, e.g. complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. If the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

**Note:** The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail". Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing or the drawings be accompanied by a set of informal drawings on which the label number is placed.